



Who We Are

The Pennsylvania Department of Banking and Securities (DoBS) supervises the work of state-chartered and licensed banks and credit unions, investment firms and professionals, consumer lenders, and other financial services firms. We provide free and confidential help to anyone with a question or complaint about financial services, transactions, or products.

Take action today:



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Connect: PA Banking and Securities on Facebook and LinkedIn. @PAFinancialReg on Twitter. Stay connected to learn of events in your community, as well as the latest financial and regulatory news and trends.

Learn: dobs.pa.gov | The Quarter
We have numerous **FREE** publications and resources for consumers and community organizations.

Contact: 1.800.PA.BANKS or (1.800.600.0007). Our phones are staffed from 8:00 AM to 5:00 PM Monday through Friday. A live person will answer your call or return your call within 24 hours during the week.



Financial Services for Consumers and Business

“If you want to become rich, never waste your time and your money”.

-Ben Franklin



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DEPARTMENT OF BANKING
AND SECURITIES

17 North Second Street | Suite 1300 | Harrisburg, PA 17101
1.800.PA.BANKS (1.800.600.0007) | dobs.pa.gov | [f](#) [t](#) [in](#)



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INVESTIGATE before you INVEST



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AND SECURITIES

> protect > regulate > inform



Where to Start

Before you spend your time and money on a financial service, product, or company, we urge you to **investigate** before you **invest**.



Trying to find information on financial services can be confusing, so if you are not sure where to start, call us today at **1.800.PA.BANKS** or **1.800.600.0007**.

Researching People



FINRA: It can be hard to understand the letters that investment professionals sometimes use after their name as a professional designation (e.g. CFA or CAS).

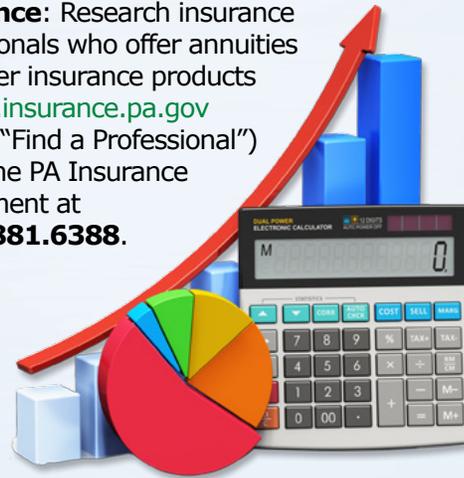
The *Financial Industry Regulatory Authority* (FINRA) has a tool to help: Search "Professional Designations" at www.finra.org or call the FINRA Hotline at **1.800.289.9999**.

BrokerCheck: FINRA maintains an online database called BrokerCheck that you can use to research people and firms that sell stocks, bonds, mutual funds, and other securities. Go to brokercheck.finra.org or call the FINRA Hotline at **1.800.289.9999**.

IAPD: To research investment advisory firms and their representatives who provide investment advice, you can use the *Investment Adviser Public Disclosure* (IAPD) from the Securities and Exchange Commission (SEC): www.adviserinfo.sec.gov or call the SEC's Investor Information Service phone number: **1.800.732.0330**.

SmartCheck: To research financial professionals who trade futures, options on futures, and foreign currency (Forex), visit SmartCheck, an online database at the *Commodities Futures Trading Commission* (CFTC): www.smartcheck.gov/check or call **1.866.366.2382**.

Insurance: Research insurance professionals who offer annuities and other insurance products at www.insurance.pa.gov (search "Find a Professional") or call the PA Insurance Department at **1.877.881.6388**.



Researching Investments



Crowdfunding: Research securities offered via registered funding portals at www.finra.org (search "Crowdfunding") or call the FINRA Hotline at **1.800.289.9999**.

Pennsylvania Registered Securities: Research securities offerings registered by the PA Department of Banking and Securities at www.dobs.pa.gov (search "Registered Securities") or call **1.800.PA.BANKS** or **1.800.600.0007**.



Researching Companies



SIPC Members: *Securities Investor Protection Corporation* (SIPC) works to restore customer cash and securities left in the hands of bankrupt or otherwise financially troubled brokerage firms. www.sipc.org/list-of-members or **202.371.8300**

NMLS: Research mortgage companies and other consumer lenders at: www.nmlsConsumerAccess.org.

BankFind: Research banks and ensure they are federally insured at www.fdic.gov (click the "BankFind" link) or call the Federal Deposit Insurance Corporation (FDIC) at **1.877.275.3342**.

Credit Union Locator: Research credit unions and ensure they are federally insured at www.mycreditunion.gov (search "Share Insurance Estimator") or call the National Credit Union Administration (NCUA) at **1.800.755.1030**.

Insurance: Research insurance companies before purchasing annuities or other insurance products at www.naic.org/cis or call the National Association of Insurance Commissioners (NAIC) at **816.783.8200**.

Pennsylvania Financial Institutions Search: Find PA chartered or licensed banks, credit unions, and other consumer lenders at www.instsearch.pa.gov or call the PA Department of Banking and Securities at **1.800.PA.BANKS** or **1.800.600.0007**.